Naval Inspector General
DEPARTMENT OF THE NAVY
NAVAL INSPECTOR GENERAL
Washington Navy Yard, DC
Conscience of the Navy...Making a Difference!

Point of Contact

HOTLINE INVESTIGATOR
NAVAL INSPECTOR GENERAL

COMM (202) 433-2466
DSN (312) 288-2466

Enabling Learning Objectives

- Describe the Mission of the Naval Inspector General
- Describe the Vision of the Naval Inspector General
- Identify the Guiding Principles of the Naval Inspector General
- Name the eight functions of the NAVIG system
- Identify the least senior level to which NAVIGs are detailed
- Describe the uses of the NAVIG Web site

Enabling Learning Objectives (continued)

ELO

- Identify the four types of NAVIG inspections
- Identify the three questions guiding NAVIG Inspections
- Describe the Hotline Mission
- Identify the Hotline Primary Functions
- Describe the NAVIG 4-step complaint procedure
- Identify the four Investigators' Standards

Outline

- **Mission**
- Organization
- Inspections
- Investigations

Mission Statement 10 USC 5020

- **"Shall inquire into and report upon any matter that affects the discipline or military efficiency of the Dept of the Navy. Shall make inspections, investigations and reports as the Secretary of the Navy or Chief of Naval Operations (CNO) direct."**
- **"Shall cooperate fully with the DoDIG in connection with any IG function or duty under the IG Act of 1978."**

Mission Statement SECNAVINST 5430.7F

- “The NAVINSGEN is the senior investigative official in the Department of the Navy (DON) and the principal advisor to the Secretary, CNO, and Commandant Marine Corps (CMC) on all matters concerning inspections, investigations, and audit followup.

- The NAVINSGEN shall ensure the policy expressed in this instruction is implemented within DON by initiating, conducting, or directing the conduct of such inquiries as the NAVINSGEN deems appropriate, with particular emphasis on those matters relating to DON integrity, ethics, efficiency, discipline, or readiness, afloat or ashore. “

Vision

- Be “the conscience of the Navy” – making a difference, adding *value* at ALL levels through assistance, advice, and advocacy.

Guiding Principles

- To support the Department of the Navy in maintaining the highest level of integrity and public confidence:
  - Provide candid, objective, and uninhibited internal analysis and advice.
  - Emphasize integrity, ethics, efficiency, discipline, and readiness -- afloat and ashore.
  - Perform with the highest standards of ethical leadership.
  - Be an advocate of Quality of Service for Sailors, Marines, civilian employees, and their families.
  - Always exercise fairness, impartiality, and timeliness in accomplishing our mission.

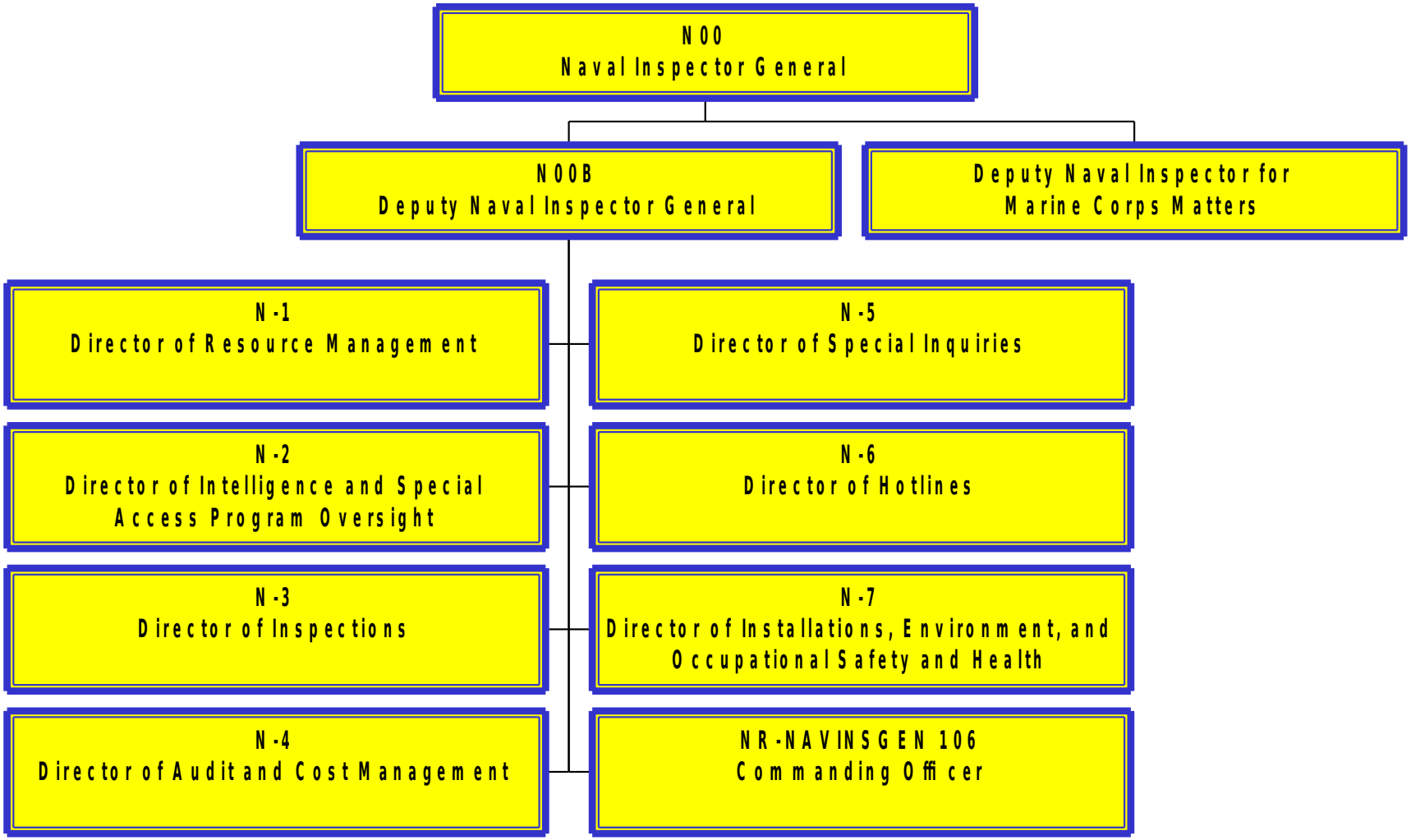
Naval Inspector General System Functions

1. Ensure appropriate Inquiry and Management Action
2. Conduct Inspections and Surveys
3. Conduct Area Visits
4. Initiate and conduct non-criminal investigations (excluding background investigations)
5. Oversee DON environmental protection and Occupational Safety and Health programs
6. Oversee intelligence activities and non-intelligence special activities
7. Adjudicate disputed audit findings and conduct audit follow-up and audit liaison
8. Train all lower-echelon IGs and non-criminal investigators in DON

Outline

- Mission
- **Organization**
- Inspections
- Investigations

NAVIG Organization



Naval Inspectors General

Approx 415 NAVIG personnel World-wide

Naval Inspector General ★★★

Dep NAVIG Marine Corps Matters ★★

Office of Under-SECNAV

Naval Criminal Investigative Service

Naval Auditor General

Echelon II (35)

Echelon III

Echelon IV

Fleet Echelon II

- FLEET FORCES ★★★★
- PACIFIC FLEET ★★★★
- NAVAL FORCES EUROPE ★★★★
- NAVY RESERVE FORCES ★★★
- MILITARY SEALIFT ★★★
- CENTRAL NAVAL FORCES ★★★
- SPECIAL WARFARE ★★

Shore Echelon II

- NAVAL INSTALLATIONS ★★★
- EDUCATION AND TRAINING ★★★
- BUREAU OF MEDICINE ★★★
- AIR SYSTEM ★★★
- SEA SYSTEM ★★★
- SPACE WARFARE SYSTEM ★★
- SUPPLY SYSTEM ★★
- FACILITIES SYSTEM ★★
- PERSONNEL ★★
- STRATEGIC SYSTEMS PROGRAM ★★
- SECURITY GROUP ★★
- INTELLIGENCE ★★

Miscellaneous

- SECNAV
- NAVAUDIT
- NCIS
- USNA
- CNO N-9B DNS
- JAG/NLSO
- COMOPTEVFOR
- SAFECEN
- PRESINSURV
- NAVWARCOL
- NAVPGSCOL
- SUPNAVOBS
- ONR
- DIRHISTCEN
- NCPB
- BCNR

IG Office Structure

- Each Echelon II command shall appoint a full-time, dedicated IG
- Shall be either a commissioned officer (O-6 or higher) or
- Civilian GS-15 or higher
- IGs assigned to Echelon III commands shall be a commissioned officer (O-5 or higher) or
- Civilian GS-13 or higher

IG Office Structure

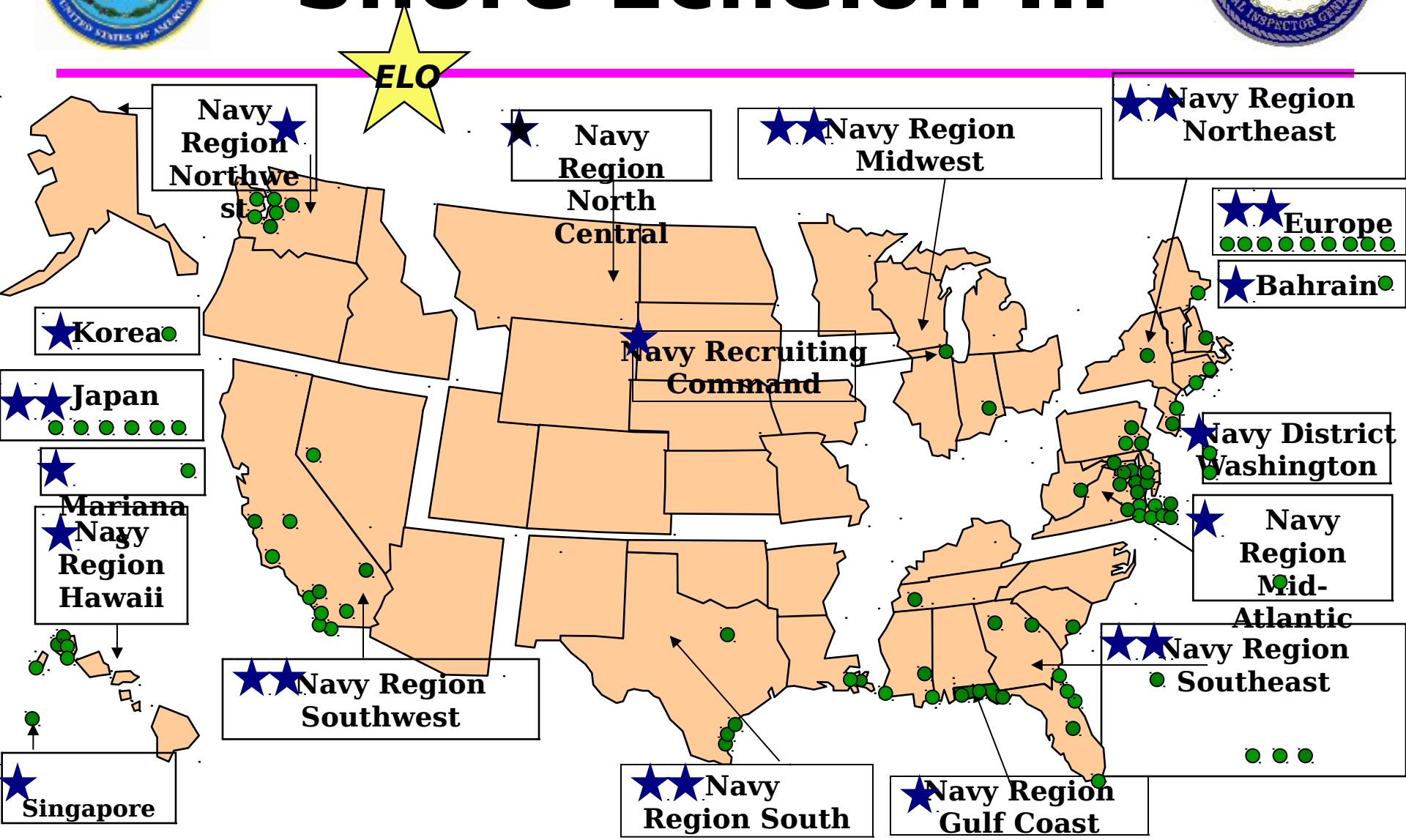
- Echelon II commands shall have a minimum of one GS-18XX series investigator
- Suggested staffing is based on the number of Hotline complaints an activity receives annually
- Staffing should be sufficient to complete investigations within 90 days of receipt of the complaint

Staffing Criteria

- **Staffing criteria based upon volume of cases opened monthly**

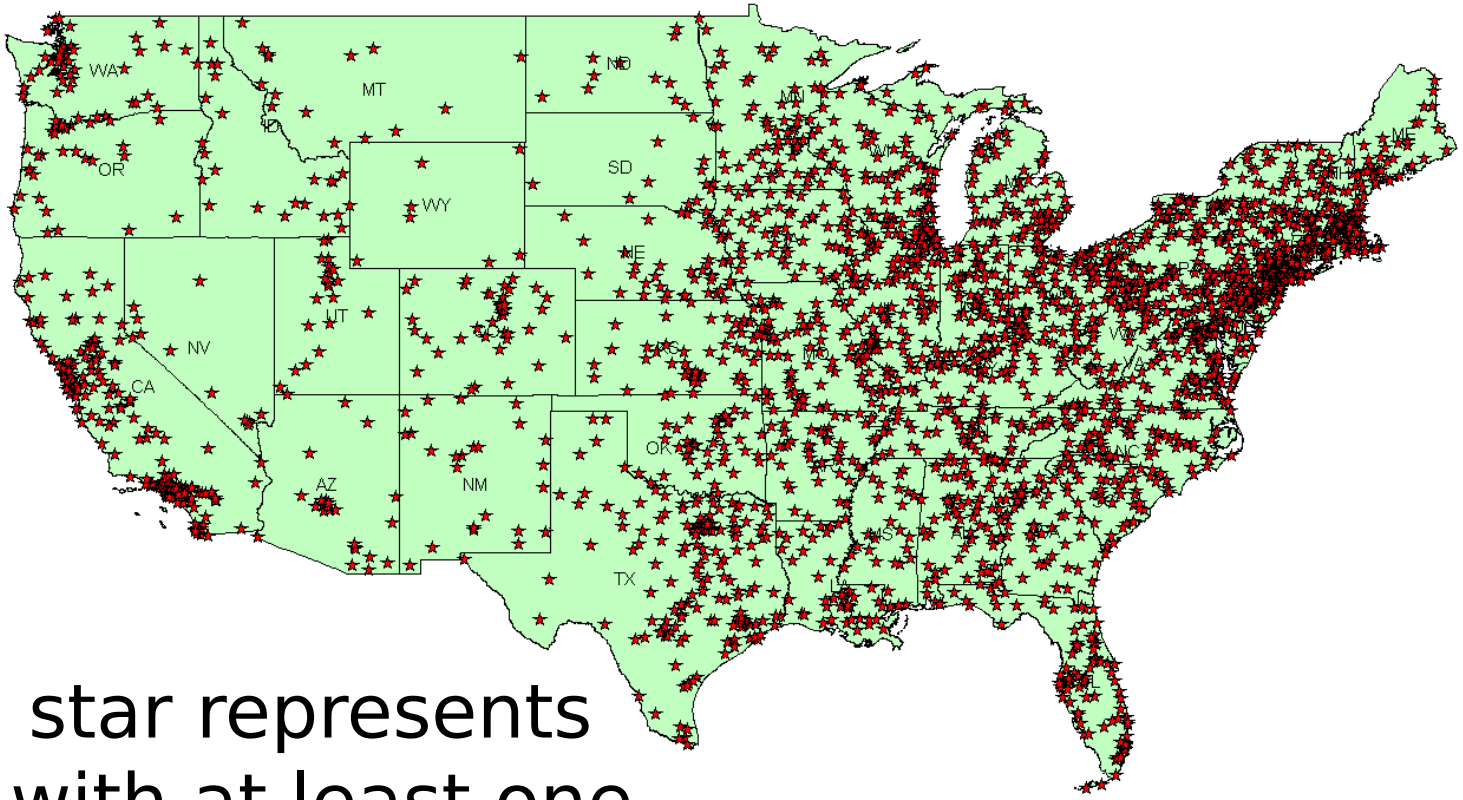
Open monthly	Investigators
0 - 10	1
11 - 20	2
21 - 30	3
31 - 40	4
41 - 50	5
51 - 60	6
61 - 70	7
71 - 80	8
81 - 90	9
91 - 100	10

Shore Echelon III



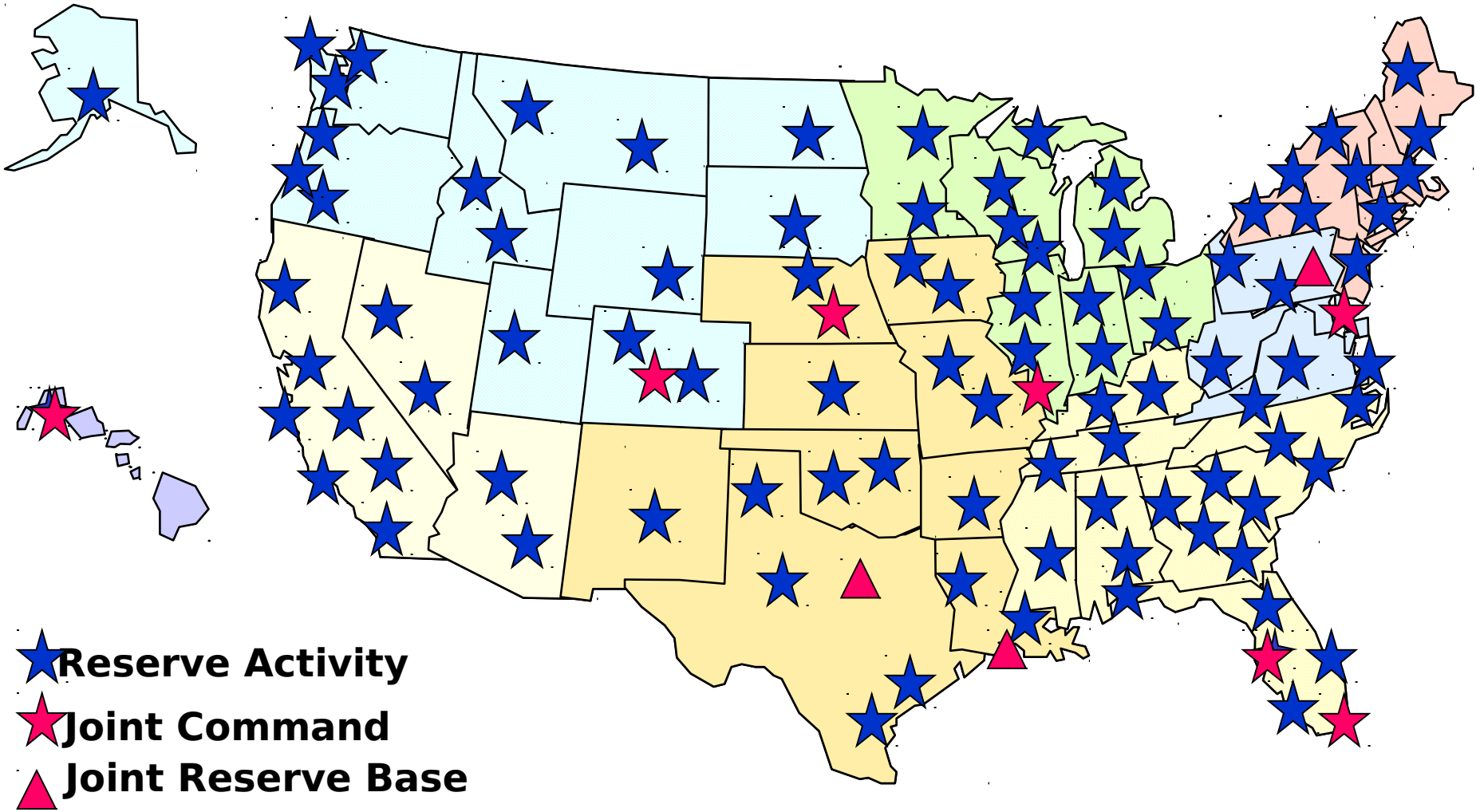
Support for Forces

Includes Reserves…



Each star represents a city with at least one drilling reservist

… and Reserve Facilities



IG Integrity

Level of Knowledge

Questioning Attitude

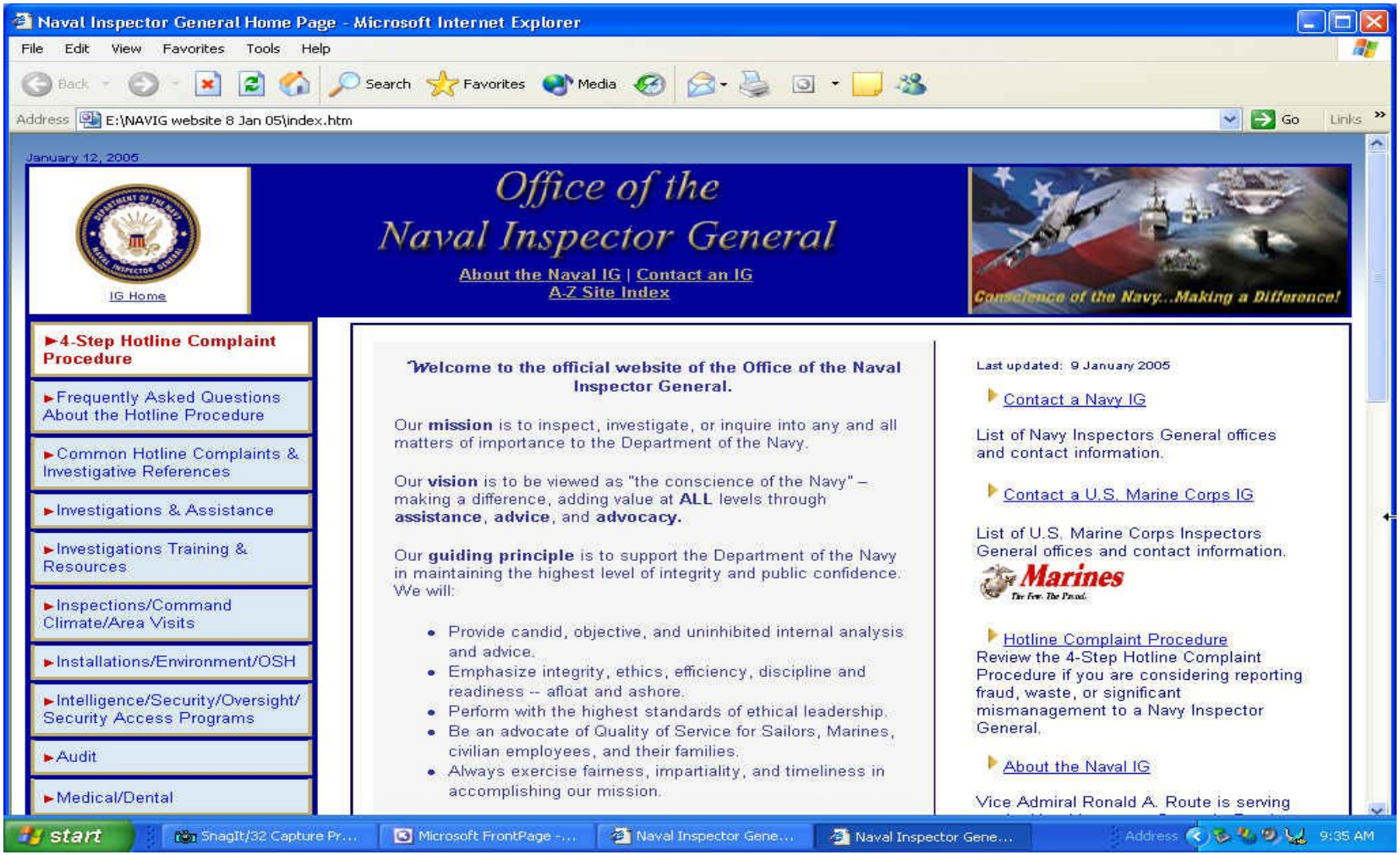
Procedural Compliance

Forceful Backup

Formal Communications

Risk Management

NAVINSGEN Web Site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January 12, 2006
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►Frequently Asked Questions About the Hotline Procedure
►Common Hotline Complaints & Investigative References
►Investigations & Assistance
►Investigations Training & Resources
►Inspections/Command Climate/Area Visits
►Installations/Environment/OSH
►Intelligence/Security/Oversight/ Security Access Programs
►Audit
►Medical/Dental
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Our vision is to be viewed as "the conscience of the Navy" – making a difference, adding value at ALL levels through assistance, advice, and advocacy.
Our guiding principle is to support the Department of the Navy in maintaining the highest level of integrity and public confidence. We will:
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Naval Inspector Gene...
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9:35 AM

NAVINSGEN Web Site

- http://www.ig.navy.mil
- Establishes standardized procedures
- States Navy policy
- Reinforces chain of command by guiding to the lowest appropriate level
- Provides IG community with:
  - Investigative Tool
  - Assessment and Inspection Tool
  - Training Aid
  - Reference Source
- Provides DON military and civilians with complaint process
- Provides public guidelines for best venue of complaint or issue submission

Summary

- Describe the Mission of the Naval Inspector Gener
- Describe the Vision of the Naval Inspector Genera
- Identify the Guiding Principles of the Naval Inspec General
- Name the eight functions of the Naval Inspector General system

Outline

- Mission Organization
- Organization
- **Inspections**
- Investigations

NAVINSGEN Inspections

- The Naval Inspector General conducts four types of inspections:
  - Command Inspections
  - SECNAV Area Visits
  - Special Focus Studies
  - DON Risk and Opportunity Assessment

- As directed by the Secretary of the Navy and the Chief of Naval Operations.

NAVOSH Mission

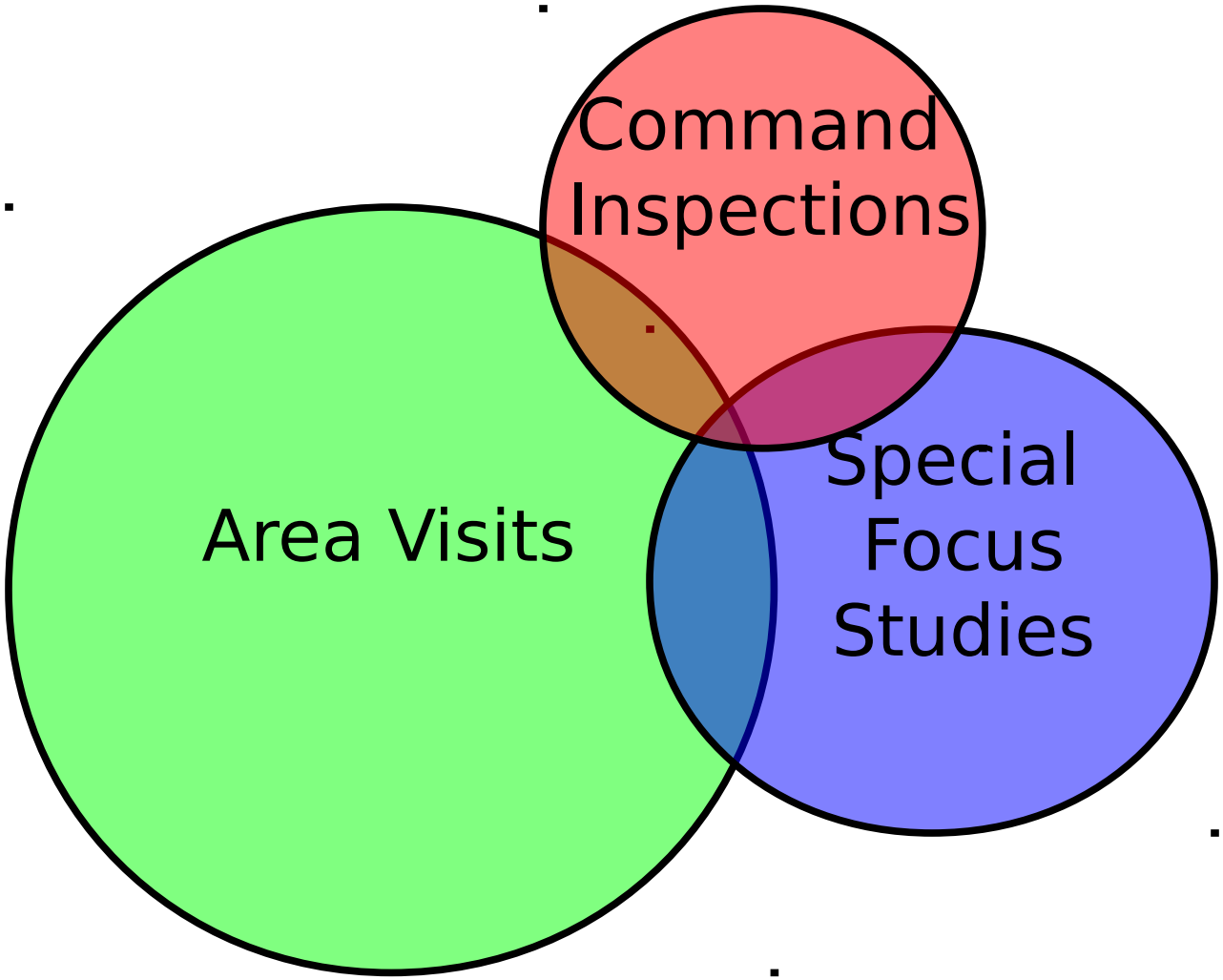
(Navy Occupational Safety and Health)

Provide Senior Navy Leadership

- Accurate
- Objective
- Unrestricted
- Timely

assessment of the efficiency and effectiveness of the Department's Installations, Environmental, Safety, and Occupational Health Programs.

IG Oversight Strategy Linkage



NAVINSGEN Inspections

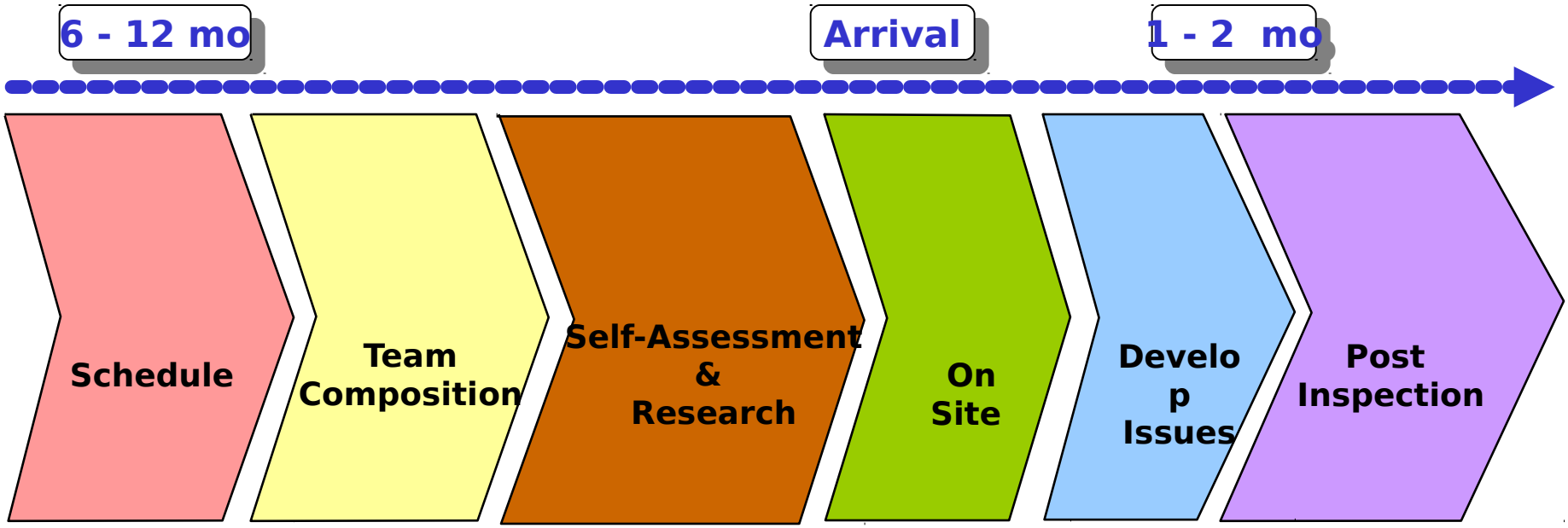
- Emphasize assistance, advice, and advocacy throughout the entire Inspection process.
  - We bring a positive attitude

Echelon II Command Inspections

- Every 4-5 years
- A critical, internal look to determine…
  - …*what* the command does
  - …*how well* it does its mission
  - …how results are *measured*
- Emphasis on identifying risks to DON, significant concerns, and material weaknesses
- Compare the Self-Assessment Area Visit findings and other sources to determine *ground truth*
- Look for systemic issues and innovative processes

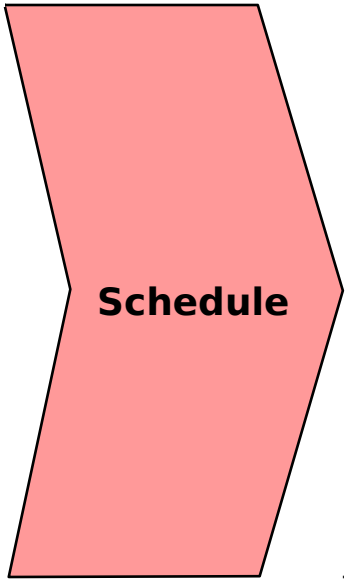
Command Inspection

Timeline



Command Inspection Schedule

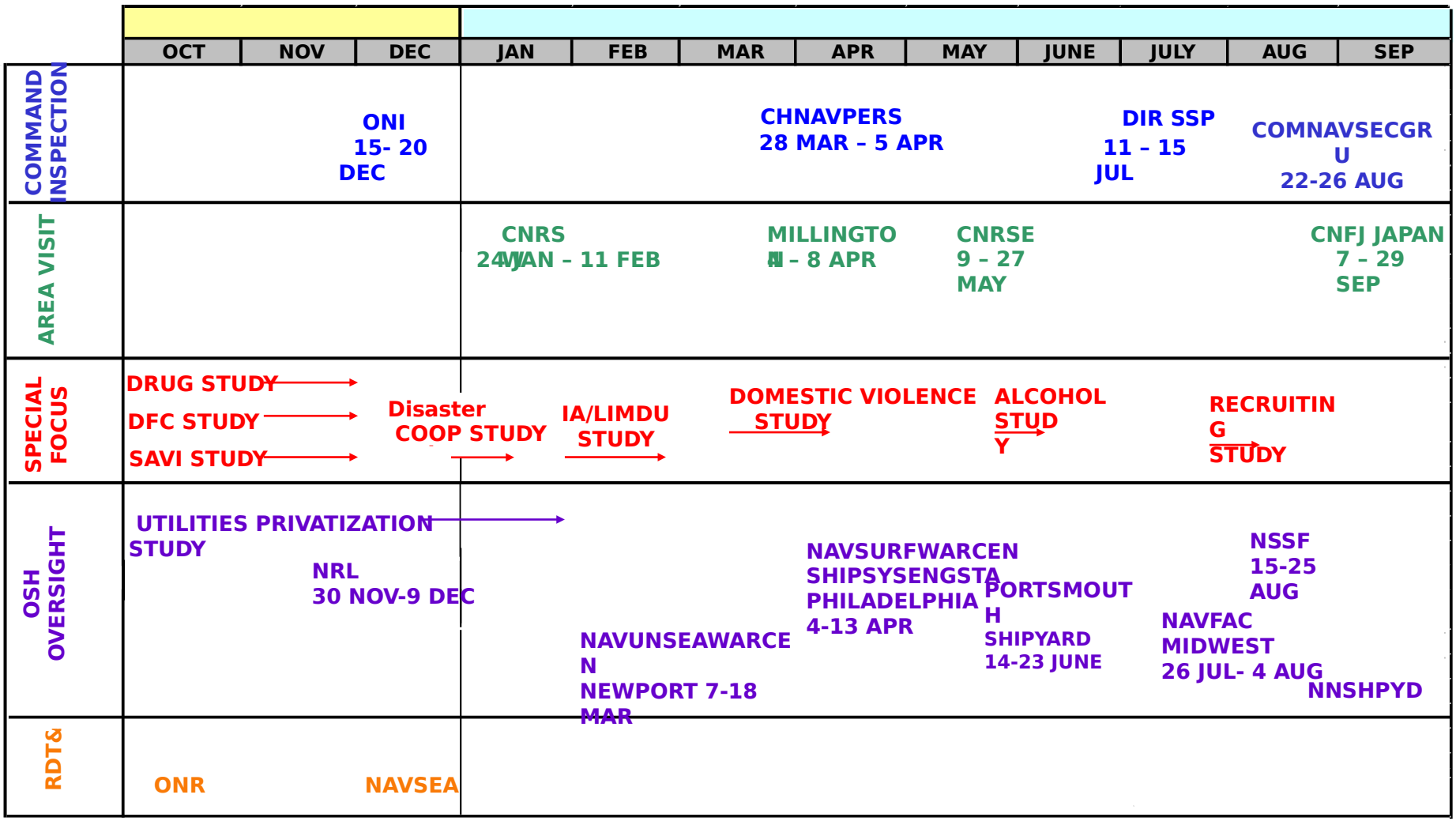
6 - 12 mo | Arrival | 1 - 2 mo



- Announce entire Command Inspection schedule at the beginning of the FY. (Lead time versus less timely data)
  - For Commands: Allows more time to develop Self Assessment (SA) (command vs IG function)
  - For IG: Allows time to build teams, research issues, analyze Self-Assessment products, and spread workload across year
- Injects flexibility into the scheduling proces

NAVIG Inspection

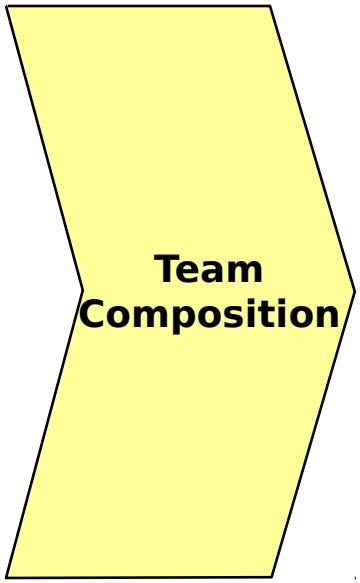
Typical Schedule



Command Inspection

Team Composition

6 - 12 mo | Arrival | 1 -2 mo



- Tailor team composition for unique Echelon IIs
- Augment key areas. Advance notice for “outsiders” is key…
- Team Leaders ALWAYS remain the same…

Command Inspection

Self Assessment & Research

6 - 12 mo | Arrival | 1 - 2 mo

- Self-Assessment:

  - Answers the “3 Questions”
  - Highlights command vs HQ issues
  - Includes Inspection Survey
  - Addresses the following “specifics” :

Command Inspection

Self Assessment & Research

6 - 12 mo | Arrival | 1 –2 mo

- Self-Assessment “specifics”:
  - 10 DON Risk Categories
  - Last two MCP Statements of Assurance
  - Operational Risk Management products
  - Impact of funding shortfalls
  - Commander’s Ops Brief / Performance metrics
  - CNO 14-Slide Brief
  - Summary of Inspections of subordinate cmds
  - Command Climate survey results
  - IG functions (Hotlines, investigations, etc.)
  - Human capital strategies / issues
  - Commander’s Assessment of command / claimancy
  - Strategic Plan – Vulnerability Assessment Results

Command Inspection

Self-Assessment & Research

6 - 12 mo | Arrival | 1 -2 mo

- Maintain close liaison with Pentagon counterparts to stay abreast of current thinking
- Reciprocate with Pentagon leadership – show how their policy impacts “deck- plate” Sailors

Command Inspection

On-Site Criteria

6 - 12 mo → Arrival → 1- 2 mo

On Site

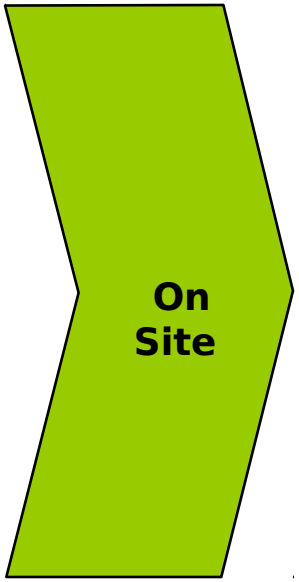
- Criteria for conducting an on-site visit:
  - Did they provide us “raw, working data” or something prepared for IG only?
  - Was the Self-Assessment a critical, “warts-and-all” assessment?
  - Does Self-Assessment match our research/Area Visit findings?
  - At command request
- Focus to be on working-level reports and papers
- Access to classified data would help validate their Self- Assessment

Command Inspection

On-Site Criteria (Con't)

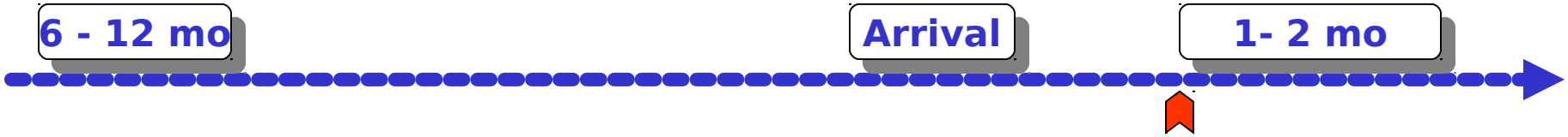
6 - 12 mo | Arrival | 1 -2 mo

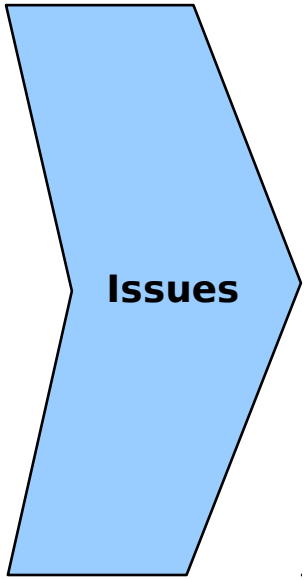
- Emphasize value of the Command Inspection process to the commands:



- Validation of management processes / metrics
- Assessment of acceptable risk
- Benefits achieved by a critical internal scrub
- Passing along others' "Best Practices"
- Validation of Navy programmatic issues
- Provide advocacy, assistance, and advice
  - Focus Groups and Consults – issues or referrals

Command Inspection
Issues



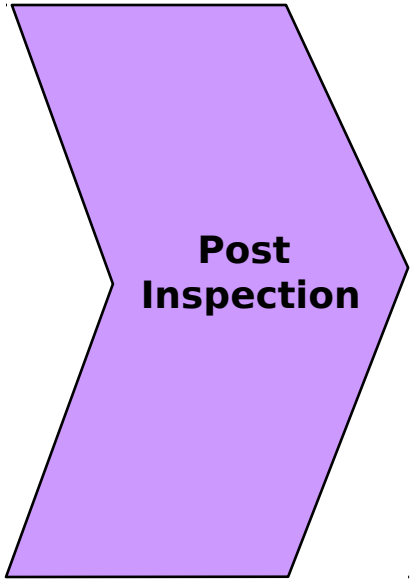


- To be **credible**…
  - Produce well-researched issue papers
  - Assign AO / codes taskers
  - Engage with AOs and track Implementation Status Reports

Command Inspection

Post Inspection

6 - 12 mo | Arrival | 1-2 mo



- Admiral sends ~1/2 page post Command Inspection email to targeted Flags with specific issues of value
  - Present selected findings to 3-star Board of Directors
- NAVINSGEN as advocate for Echelon II systemic issues (Positive and negative trends)
  - Recommendations from past inspections

Area Visit Procedures

- Data collection
  - On-line survey
  - Focus groups
  - Interviews
- Preliminary findings / impressions
- Issue development / follow-on research
- Final report
- Implementation Status Report tracking

Area Visit Focus

(Risks... not programs)

- Quality of Life/Quality of Service/Mission Impact
- Fleet Support/Readiness
- Physical Security/Force Protection/Disaster Prep
- Command Relationships
- Environmental Protection
- Command Climate
- Facilities/Housing
- Naval Exchange (NEX)/Commissary
- Health Care
- Voting
- Occupational Safety and Health
- Information Technology (IT)
- Information Management (IM)
- Information Assurance (IA)
- Personnel Support
- Organizational Structure
- Morale/Welfare/ Recreation (MWR)
- Ethics/Integrity/ Discipline
- Economy/Efficiency/ Effectiveness

Special Studies…
Perceived Systemic Issues

- **Focused study of particular concern to DON…**
- **Topic often the result of past visits**
- **Past studies:**
  - Naval Aviation Spares and Readiness
  - Future Ships Design and Crewing Options
  - Reserve Total Force Improvement
  - Inter-Deployment Training Cycle Initiative Assessmen
- **Recent studies**:
  - CO Detach for Cause
  - Drug Abuse and Prevention
  - Sexual Assault

FOR OFFICIAL USE ONLY

Special Studies… NAVOSH Oriented

- Ship-to-Shore Hazardous Material Management
- Navy Energy Management
- Utilities Privatization
- Napalm Disposal
- Impact of HW Incinerator on NAF Atsugi Personnel
- Drug Detection and Prevention

Audit Follow-Up

- Audit Follow-up for Reports of
  - Naval Audit Service (NAS)
  - Government Accountability Office (GAO)
  - DoD Inspector General (DoDIG)
- Audit Oversight - DON Follow-up
- Audit Liaison - GAO and DoDIG
- Audit Facilitator
  - Disputes between NAS and DoN management
- DON Semi-annual Reports to Congress

Summary

- Identify the three types of NAVIG inspections
- Identify the three questions guiding NAVIG Inspec
- Identify the time line of the NAVIG Inspections Pr

Outline

- Mission Organization
- Organization
- Inspections
- Investigations

Hotline Mission

- To receive and investigate reports of:
  - Fraud
  - Waste
  - Mismanagement
  - Related improprieties
- Coordination of Procurement Fraud Remedies
- Improve
  - Morale
  - Good Order
  - Discipline
- Back up for Chain of Command Failure
- Barometer for Command Climate

Hotlines

Our philosophy:

"A Navy with a Hotline is better than a Navy without a Hotline"

but . . .

The Hotline is only as good as the use we make of it to help our people and improve the Navy.

We strongly encourage and support the chain of command as the first course of resolution <u>when that chain is functional and responsive</u>.

Hotline Primary Functions

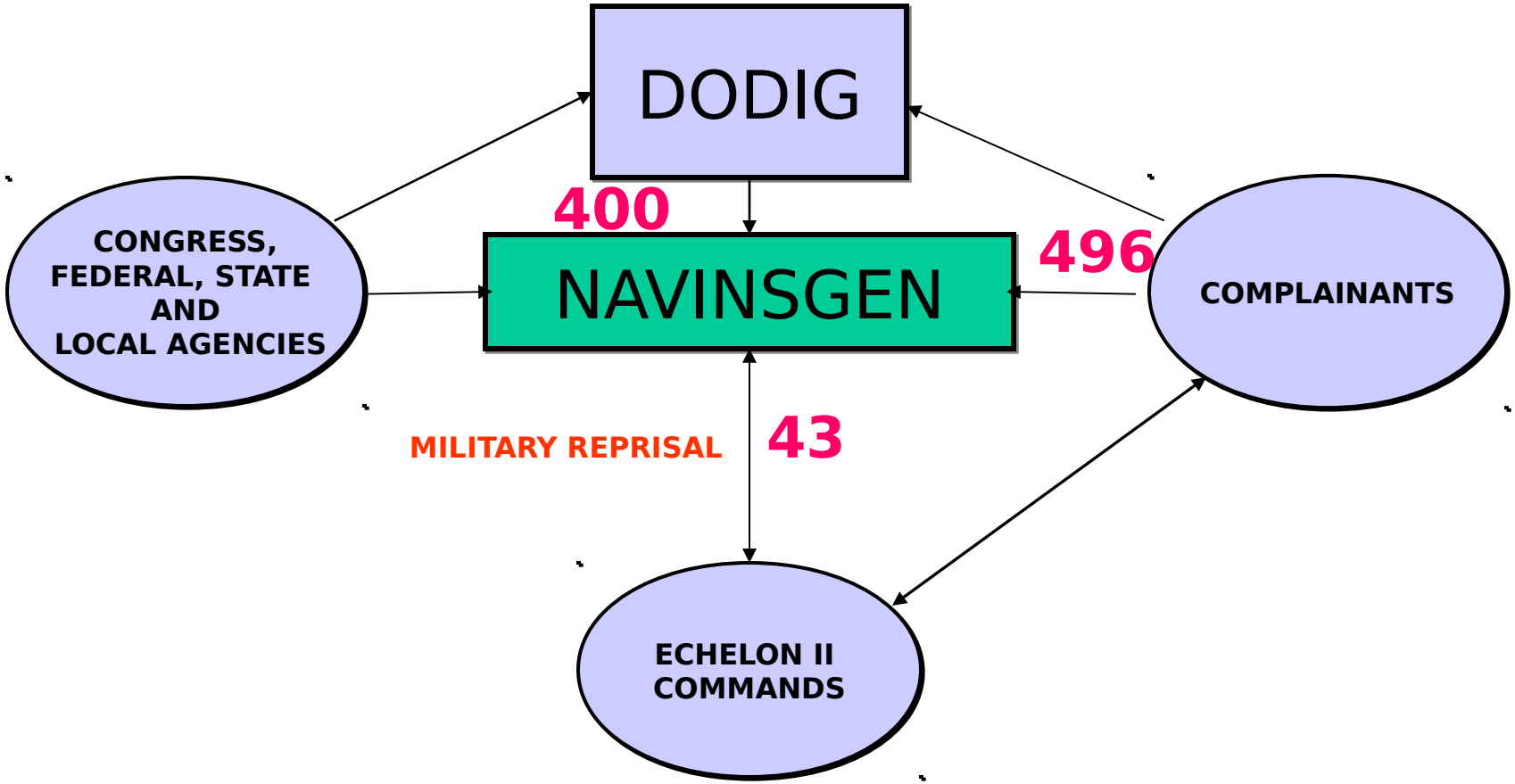
- Be responsive to:
  - Sailors
  - Marines
  - DON Civilians
- Find the facts
- Ensure Command Responsiveness
- Monitor Health and Trends of the Navy

We Provide…

- Daily care of Sailors, Marines, and DON Civilians
- Daily Interface with Echelon IIs and their organizations
  - Enhance Policy Understanding
  - Strengthen IG Network

Complaint Origins to NAVIG

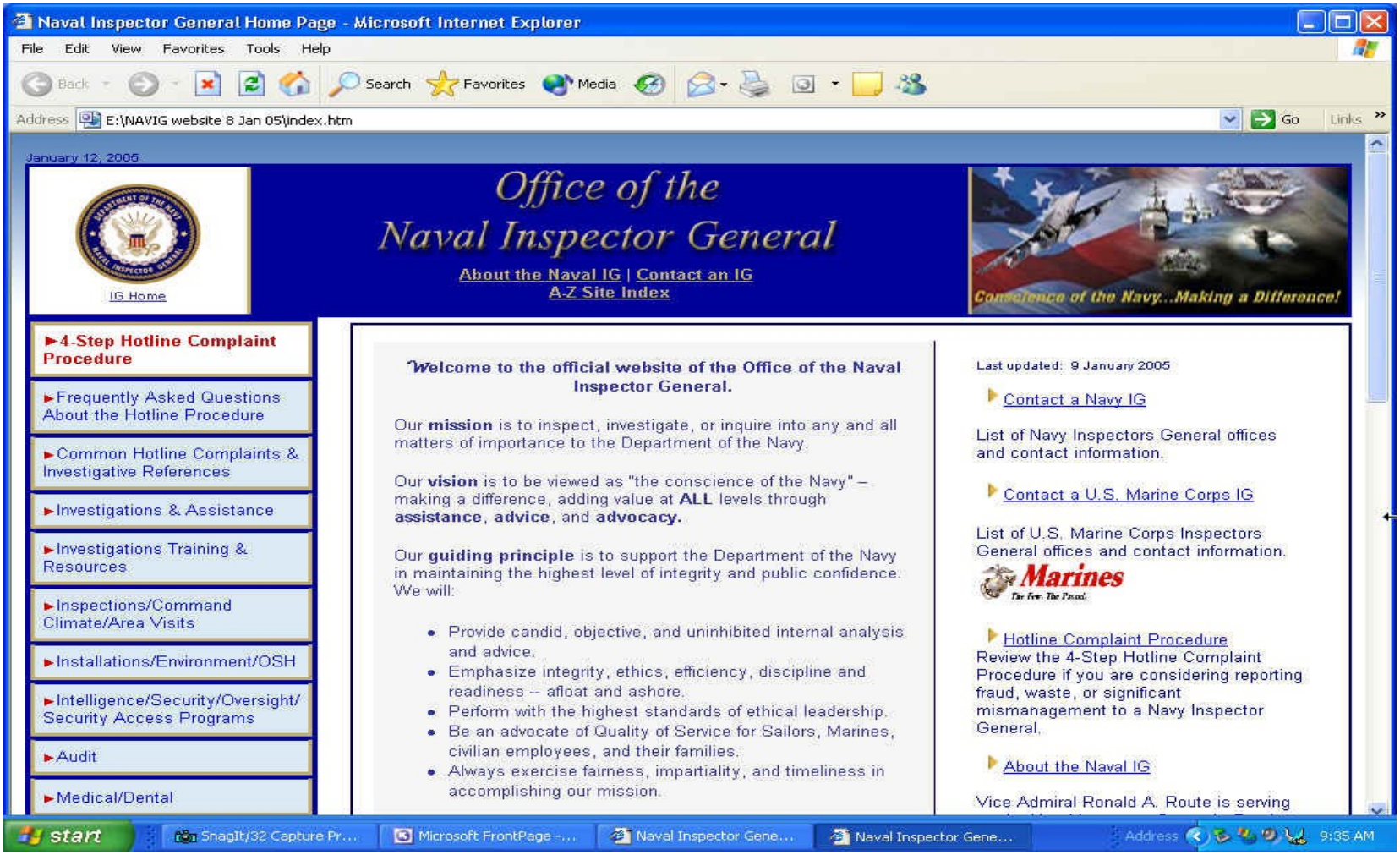
TYPICAL YEAR



Allegation Receipt

- Replicate DOD; except
  - Voice mail in Off hours
  - Website

NAVINSGEN Web Site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Anonymous Complainants

- A complainant who does not provide a name or means of contact
  - IG cannot contact complainant (for additional information)
  - IG cannot acknowledge receipt
  - IG cannot provide results of any investigation

Confidential Complainant

- Complainant releases identity with understanding that only IG and sometimes the investigator will know.

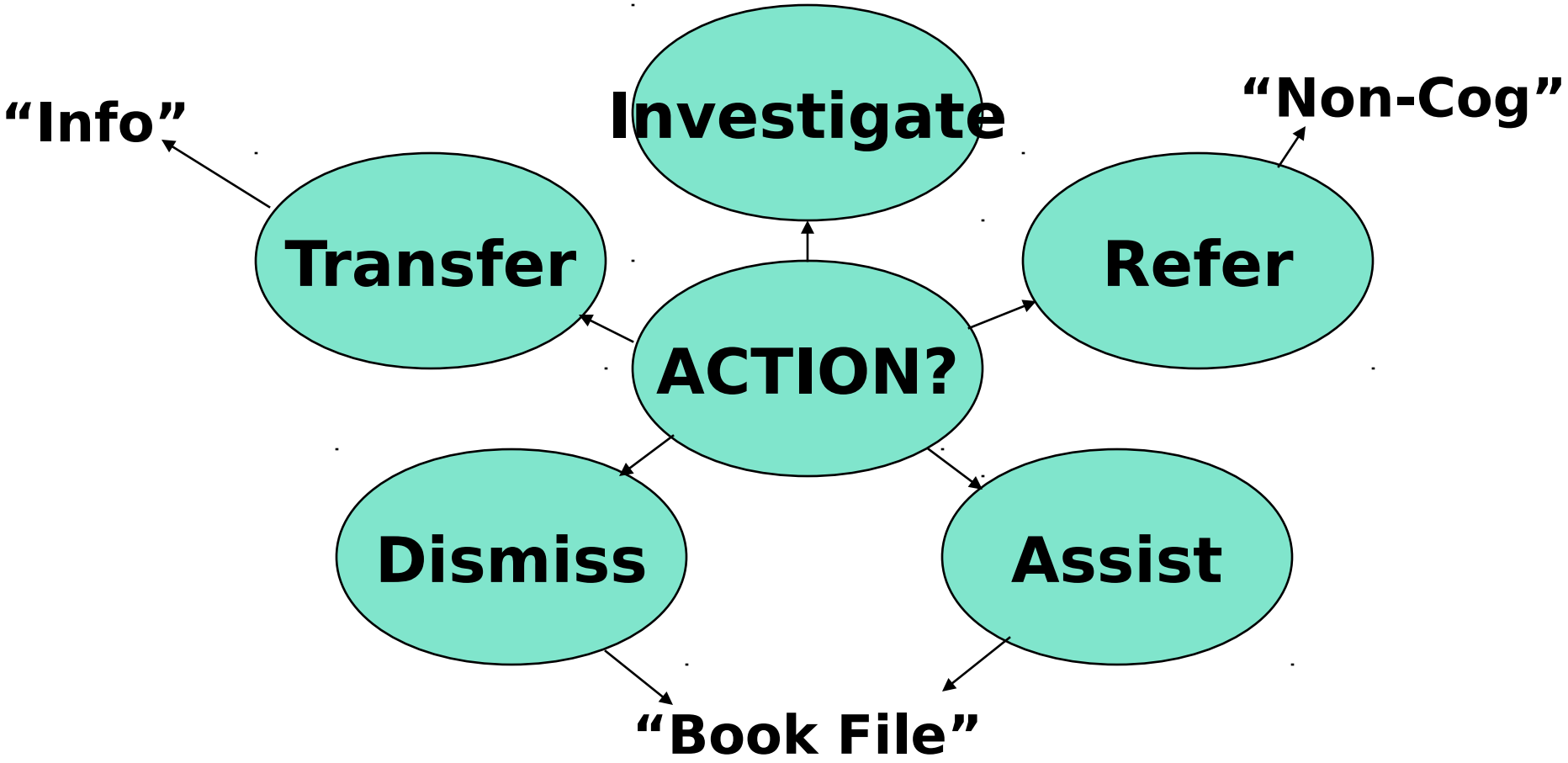
- Inform complainant that cannot guarantee absolute confidentiality as disclosure may be required during investigation or corrective action…more often than not applies to personal relief.

4-Step Process

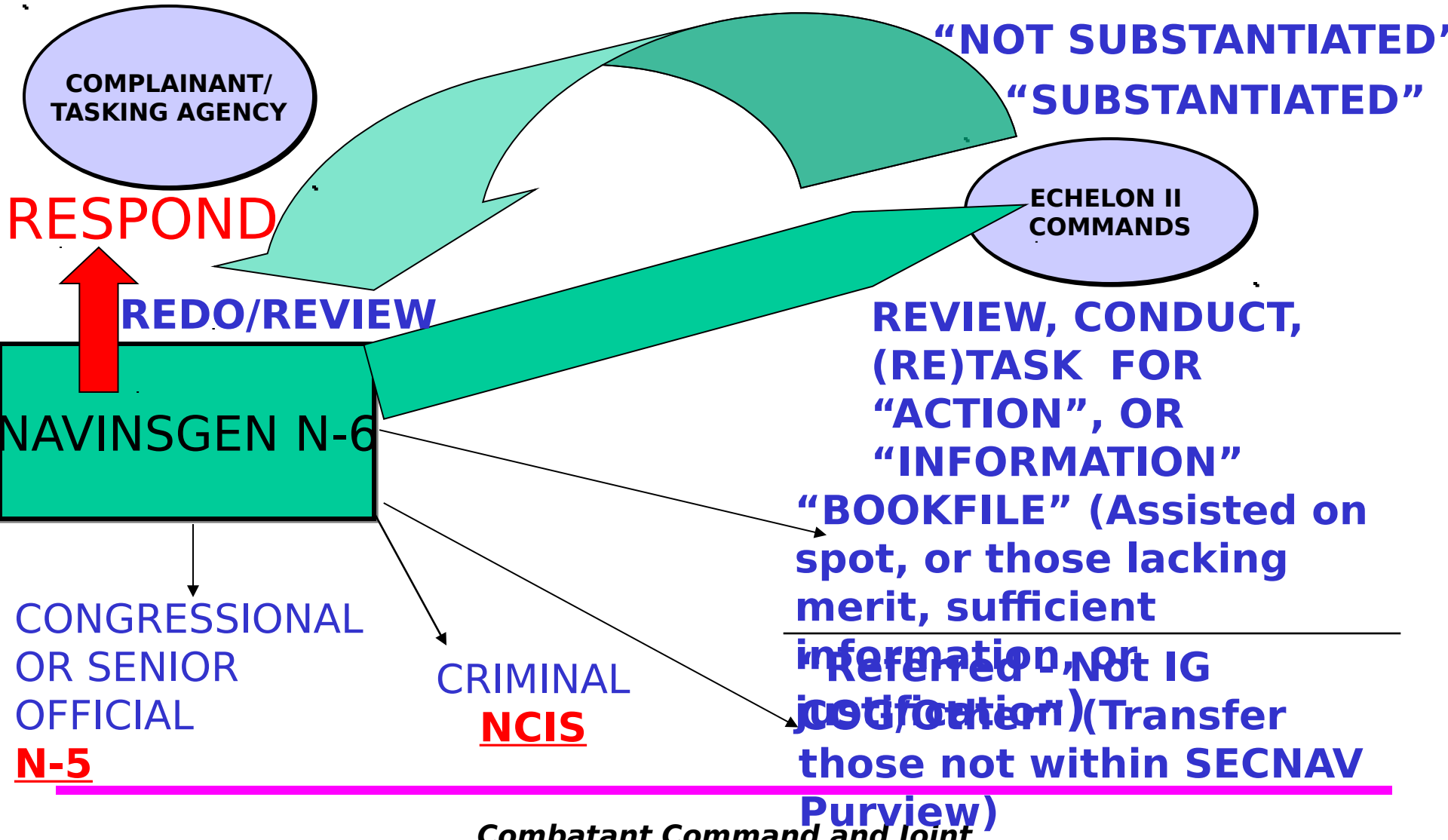
COMPLAINT PROCEDURE

- Determine Best Method to Address Issue
- Review Frequently asked Questions
- Prepare Complaint for Submission to an IG
- File a Complaint with an IG

Determine Action

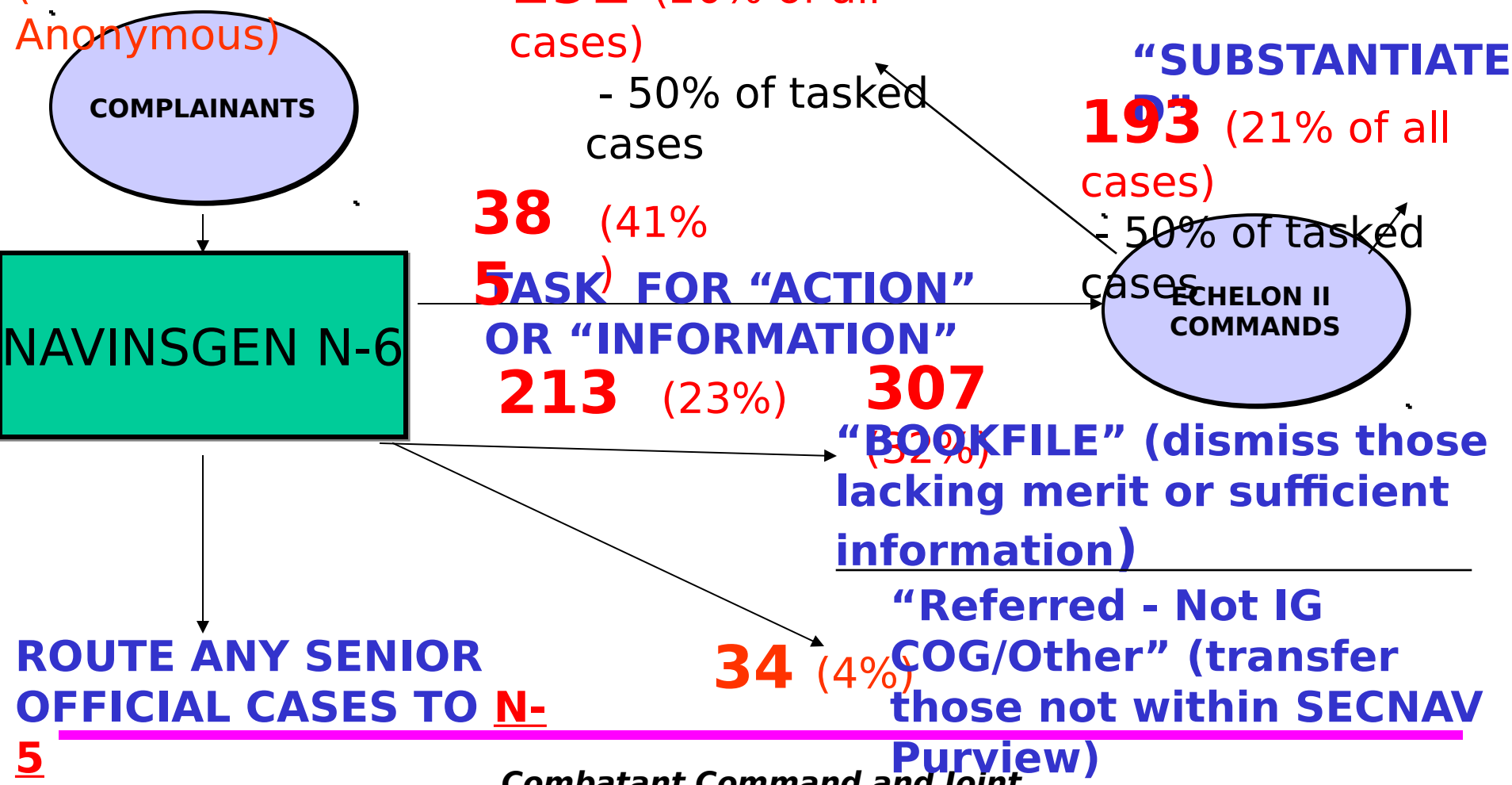


Complaint Process

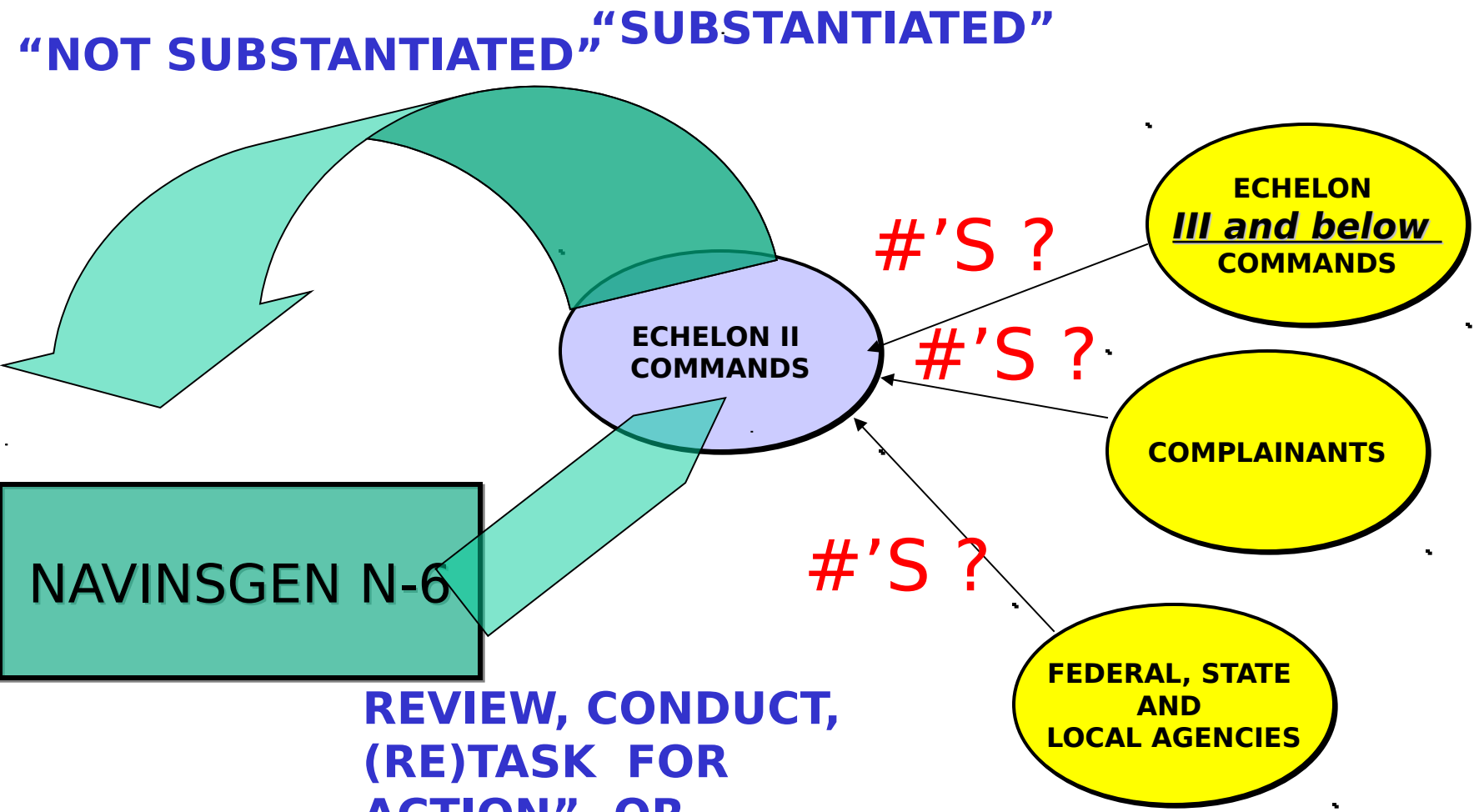


Complaint Numbers

Typical Year


939
(50% Anonymous)
COMPLAINANTS
NAVINSGEN N-6
"NOT SUBSTANTIATED"
192 (20% of all cases)
- 50% of tasked cases
"SUBSTANTIATED"
193 (21% of all cases)
- 50% of tasked cases
ECHELON II COMMANDS
385 (41%) TASK FOR "ACTION" OR "INFORMATION"
213 (23%)
307 (32%) "BOOKFILE" (dismiss those lacking merit or sufficient information)
"Referred - Not IG COG/Other" (transfer those not within SECNAV Purview)
34 (4%)
ROUTE ANY SENIOR OFFICIAL CASES TO N-5

Echelon II Complaint Concerns



Reasons For Investigations

- Allegations of Fraud, Waste, or Abuse
- Identify and address Systemic (organizational) issues
- Redress of grievance(s)
- Assignment of Responsibility
  - We can use an IG record for disciplinary action.

Top 10 Allegations

Percentage of Total

- Misuse of Govt Equipment/Manpower/Resources – 14%
- Management/Organizational Oversight – 11%
- Abuse of Title/Position – 10%
- Appearance of Impropriety – 8%
- Reprisal – 6%
- Procurement Issues – 6%
- Prohibited Personnel Practices/Nepotism – 4%
- UCMJ/Navy Regulation Violations – 4%
- False Official Statements/Claims – 3%
- Criminal Issues – 3%

Hotline Report Review

We ask:

- Are all the allegations addressed?
- Did the review consider systemic problems?
  - Could the problem have been prevented?
  - Can it occur in other places?
  - Has something been done so it doesn't happen again?
- If there was wrong doing, did you hold someone accountable?

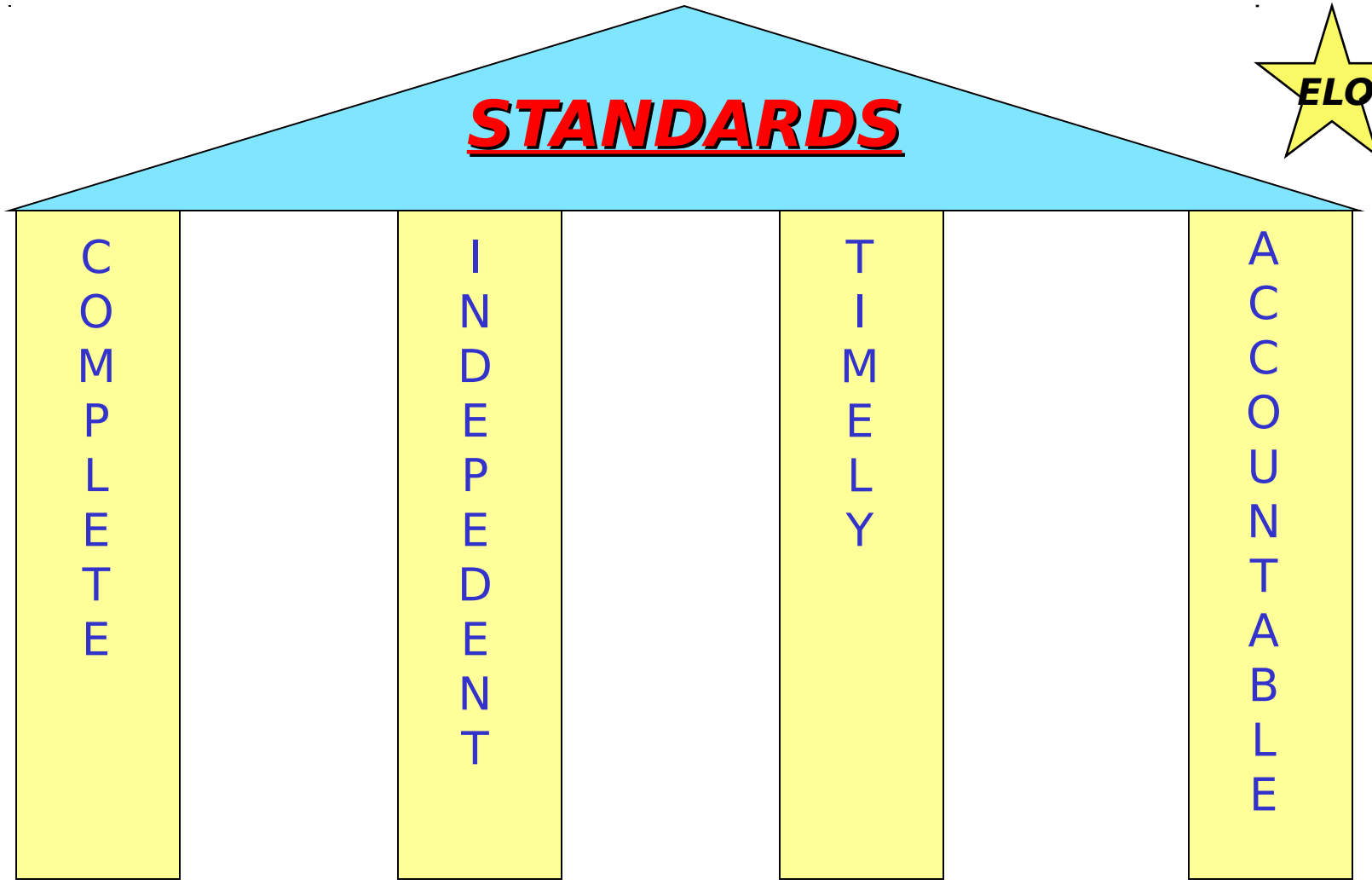
We Try to Determine

- Why well-intentioned people make bad decisions!
- Why well intentioned people who make good decisions don't get what they expected!
- Why people intentionally do things they know are wrong!

Investigators are Critical to Enhance:

- Readiness
- Accountability
- Credibility
- Quality of Service/Quality of Life

Investigators' Standards



Completeness

- *MOST CRITICAL STANDARD*
- Address all allegations
- Provide thorough analysis
  - Report must "stand alone"
  - Explain all facts
  - Arrive at logical conclusion
  - Recommendations flow logically from findings

Independence

- Fairness
  - *No* Bias
  - *No* Prejudice
  - *No* social or professional relationship with

    complainant or subject
- Without command influence, pressure, fear or reprisal

Timeliness

Justice Delayed is Justice Denied

- *MOST VIOLATED STANDARD*
- An unresolved case worsens with time and ensures satisfaction for neither the complainant nor the subject.
- Complete in *90 days (per DOD Inst.)*
  - Our Goal is 90 days from date of receipt by ultimate command!
  - Right Thing To Do!

Timeliness
(cont'd)

- Prolonged Investigations impact:
  - Retirements
  - Benefits & Compensation
  - Promotions
  - Personnel Actions
- Perception:
  - Navy Doesn't care!
  - Navy Covering up!

Accountability

- Tasking Authority
- Investigating Officer
- Responsible authorities have *30 days* to:
  - Address systemic (organizational) issues
  - Redress grievances
  - Take corrective remedial action
  - Hold culpable subjects accountable

Navy Knowledge Online Port

Training

- NAVINSGEN Web Site
  - Provides Training and Resource Materials
- NAVINSGEN Web Enabled Training on NKO
  - Professional, Career and Personal Development Portal for all Sailors(5VM)
  - Navy e-Learning - Provides DL through Computer Based Training/Web Based Training, automated update to training record
  - 2 hour CBT
- Ongoing Update of Investigations Guide and Work book

Basic Investigator Training

Courseviewer
Progress Tracking Mode: normal
Current Attempt Status: Incomplete
Current Attempt Score: NA
Naval Inspector General Investigations:
The Basics
Introduction to IG Investigations
Course Purpose
Page 1 of 12
Glossary
Resources
This course provides first-time investigators general training and experienced investigators refresher training on how to conduct an investigation based on investigative procedures used by the Naval Inspector General (NAVINSGEN).
The course does not replace the Naval Inspector General's (IG) Investigations Manual, nor does it cover all elements of an investigation in the same detail. Refer to the Manual for an in-depth discussion of investigative requirements and procedures.
Click NEXT to continue.

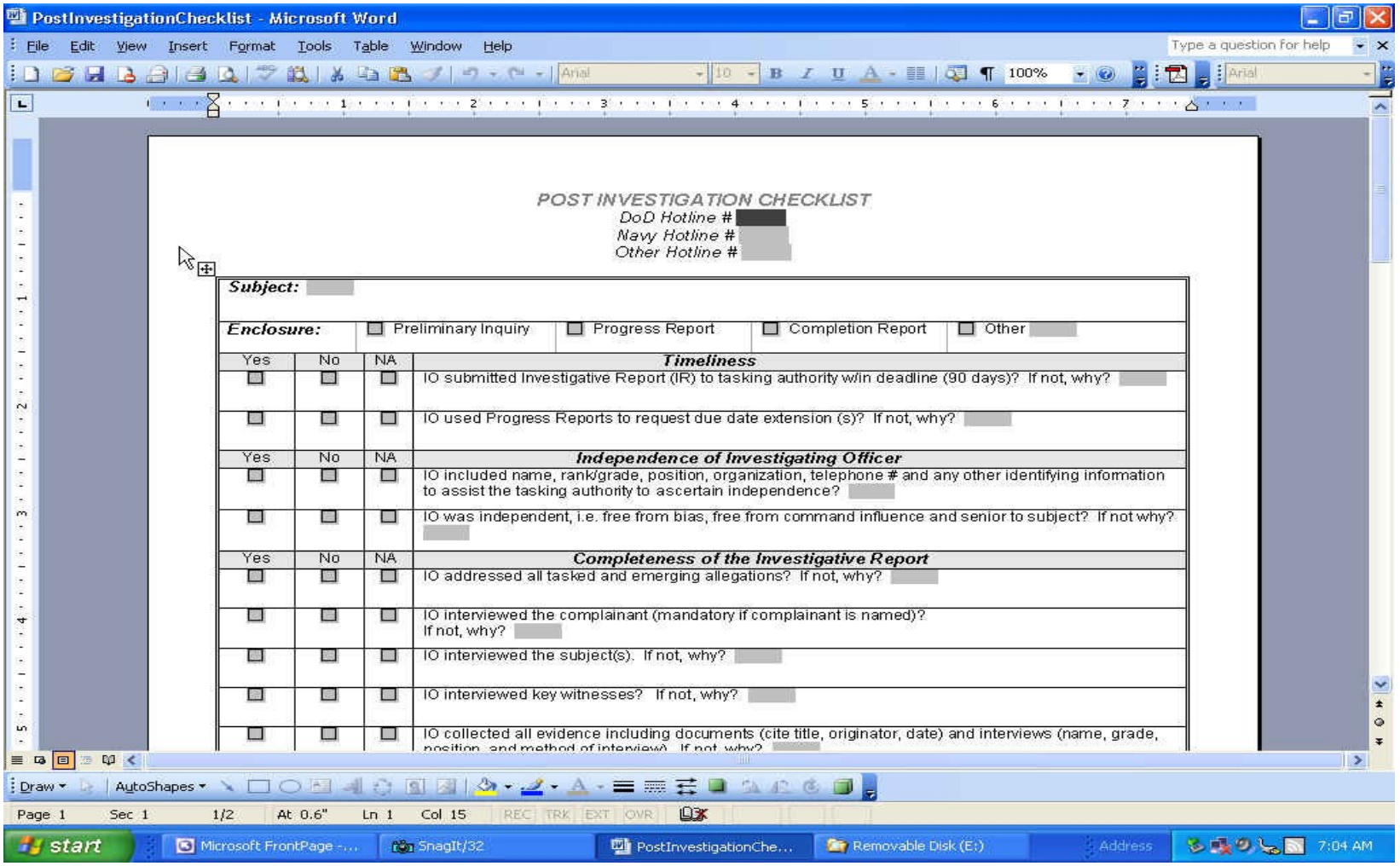
Training Class

- Inspector General Investigator School
  - Certification and improvement of lower Echelon Investigators
  - 5-Day Investigations Course
  - 4 times per year
  - 18 Students
  - Instructors and curriculum-development personnel are internal to NAVINSGEN Staff Functional areas (“Out of Pocket”)

Legal Implications of IG Investigations

- Referral of Complaints Involving Criminal Misconduct to NCIS
- Right Against Self Incrimination
- Rights Forms
- Advisement of U.S.C. 1801
- Immunity
- Authority to Restrict Disclosure

Post Investigation Checklist


PostInvestigationChecklist - Microsoft Word
File Edit View Insert Format Tools Table Window Help
Type a question for help
100%
POST INVESTIGATION CHECKLIST
DoD Hotline #
Navy Hotline #
Other Hotline #
Subject:
Enclosure:
Preliminary Inquiry
Progress Report
Completion Report
Other
Yes No NA
Timeliness
IO submitted Investigative Report (IR) to tasking authority w/in deadline (90 days)? If not, why?
IO used Progress Reports to request due date extension (s)? If not, why?
Yes No NA
Independence of Investigating Officer
IO included name, rank/grade, position, organization, telephone # and any other identifying information to assist the tasking authority to ascertain independence?
IO was independent, i.e. free from bias, free from command influence and senior to subject? If not why?
Yes No NA
Completeness of the Investigative Report
IO addressed all tasked and emerging allegations? If not, why?
IO interviewed the complainant (mandatory if complainant is named)? If not, why?
IO interviewed the subject(s). If not, why?
IO interviewed key witnesses? If not, why?
IO collected all evidence including documents (cite title, originator, date) and interviews (name, grade,
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Maintain File Release of Info

"The Government's Records are the People's Records"

- Maintaining the Case File
- Document Retention
- Document Disposal
- Storing the File
- Use of Case File for Official Purposes
- Privacy Act 5 of USC 552a
- Freedom of Information Act 5 USC 552
- Initial Denial Authority

NIGHTS

(NAVAL INVESTIGATOR GENERAL HOTLINE TRACKING SYSTEM)

- Benefits NAVINSGEN credibility:
  - Establishes electronic corporate set of processes and metrics to measure qualitatively and quantitatively, providing real time analysis and feedback of Health of -- and Trends within -- the Navy
  - Visibility of efficiency and effectiveness of organization(s), process, case loads, and individuals. PROVIDES SITUATIONAL AWARENESS!
  - Provides tools to decrease wasted time and effort
  - Identify training deficiencies
  - Identify manpower shortage or surplus
  - Electronic/Paperless Case and Document Management and Storage
  - ALLOWS BETTER INFORMATION SHARING TO PREVENT VIOLATIONS IN THE FUTURE!

Senior Official Investigations

- Senior Official
  - O-7/SES-1 Select and above
- Since 1991, NAVINSGEN does ***ALL*** **2 and 1 star** investigations –
- Five civilian investigators
  - Wide-ranging experience
  - Flag/SES cases, special inquiries
- COCOMS – We want to know about.

COCOM TAKE AWAY Investigations

- If you have a Navy Member and you ensure due process and follow DoD procedures, NAVIG will support your position.
- Navy uses all Witness statements as supporting documentation.
- NAVIG' system will write complete report and not delegate it to the Command.

Questions ?

Leadership
Responsibility
Accountability